



RECORDS RETENTION AND DISPOSITION SCHEDULE

Gaming Commission, Indiana

Agency: Gaming Commission, Indiana		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD
1	83-786	ATHLETIC DIVISION EVENT FOLDERS Record includes but is not limited to, copies of bout contracts between the promoter and fighter, event result sheets, master score cards, judges score cards, event permit applications, correspondence, Chief Commission Representative Reports, promoter financial reports, weight waivers, and official weigh-in affidavits.	IMAGE according to IARA standards immediately upon receipt. TRANSFER hard copy of first page of results sheets to the INDIANA ARCHIVES for EVALUATION, SAMPLING, and WEEDING pursuant to archival principles. DESTROY remaining hard copies after verification of electronic records for completeness and legibility. DELETE electronic records six (6) years after conclusion of event, and after STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
2	2005-14	CASINO OWNER LICENSE APPLICATIONS Record consists of an application that a person who wants to own a casino operation must complete. This includes original license applications (State Forms 46456 and 46457), renewal / reinvestigation applications of existing licenses (SF 49985), transfer of ownership applications (State Form 47373), and Gambling Game License Applications (State Form 53554). Collection and disclosure are affected by IC 4-33-5-1.5, IC 4-33-5-2, IC 5-14-3-4 (a) or (b), and IC 6-8.1-7-1.	IMAGE according to IARA standards and MICROFILM according to 60 IAC 2, six (6) months after: 1) the license becomes inactive, or 2) application is withdrawn or denied, or 3) the licensee is reinvestigated. DESTROY hard copies after verification of microfilm and digital images for completeness and legibility and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. TRANSFER archival microfilm to the INDIANA ARCHIVES for permanent archival retention. DELETE electronic records fourteen (14) years after possibility of license renewal has expired or application is withdrawn/denied, and after STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
3	2005-18	CASINO AND SUPPLIER OCCUPATIONAL LICENSE APPLICATIONS License applications for casino employees (including occupational school instructors) at varying levels of clearance and monetary involvement: Level One (SF 46458), Level Two (SF 46781), and Level Three (SF 46782). Disclosure of these records may be affected by IC 4-33-5-1.5, IC 5-14-3-4 (a) or (b), and IC 6-8.1-7-1.	IMAGE according to IARA standards six (6) months after: 1) the license becomes inactive, or 2) application is withdrawn or denied, or 3) the licensee is reinvestigated. DELETE electronic records and destroy hard copies six (6) years after possibility of license renewal has expired or application is withdrawn/denied, and after STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
4	2005-19	INFORMATION SUBMITTED BY A CASINO OR SUPPLIER LICENSEE Documents submitted by the licensee pursuant to various regulatory laws, as supporting information, or as requested by the Gaming Commission, that are not included in the Applications in record series 2005-14 or 2005-20. Disclosure of these records may be affected by IC 5-14-3-4 and IC 4-33-5-2.	IMAGE according to IARA standards upon receipt. DESTROY hard copies after verification of electronic records for completeness and legibility. DELETE electronic records three (3) years after receipt.

5	2005-20	INDIANA SUPPLIER LICENSE APPLICATION Record consists of an application (State Form 46783) that a person wishing to have a Supplier License must complete. Pursuant to 4-33-7. Disclosure of these records may be affected by IC 5-14-3-4 (a) or (b), 4-33-5-2 and IC 6-8.1-7-1.	IMAGE according to IARA standards six (6) months after: 1) the license becomes inactive, or 2) application is withdrawn or denied, or 3) the licensee is reinvestigated. DELETE electronic records and destroy hard copies six (6) years after possibility of license renewal has expired or application is withdrawn/denied, and after STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
6	2005-23	DAILY EXCURSION REPORT Indiana riverboats are required to file a daily excursion report for any date on which they actually perform excursions. Since the riverboat casinos currently have dockside gambling, authorized under IC 4-33-9-2, excursions are rare, but still possible. Files may include State Form 47462 and supporting documentation.	DESTROY after one (1) year.
7	2005-24	RG FORMS This group of accounting and revenue forms submitted by gambling establishments is mandated under 68 IAC 15-5-1, and consists of Forms RG-1 through RG-9. These forms are now submitted electronically to a central database; there is no paper version. All previously existing paper records are eligible for destruction. Retention based on IC 6-8.1-5-4.	DELETE electronic records and DESTROY any remaining paper records after three (3) years.
8	2005-25	PATRON COMPLAINTS Records of dispute resolutions. Pursuant to 68 IAC 18, the Indiana Gaming Commission may be called upon to resolve disputes between riverboat patrons and licensees.	DESTROY one (1) year after response is provided.
9	2005-26	SEC FILINGS Corporation-related filings collected pursuant to 68 IAC 4-1-7 (a), and (b). This information is a duplicate of information submitted to the Securities and Exchange Commission, and is made publicly available online by the SEC.	DESTROY one (1) year after receipt.
10	2008-03	BACKGROUND AND FINANCIAL INVESTIGATIVE WORK PRODUCT AND OCCUPATIONAL LICENSEE WORKING FILE Work product from background and financial investigators and/or agency contractors researching and verifying applications for Owner, Occupational, and Supplier licenses, as well as Junketeer and Junket Operator registrations. Files include final reports, disciplinary action investigatory files, fingerprints, background checks, correspondence with applicants and with federal agencies, and other supporting documents. Collection and disclosure are affected by IC 4-33-5-1.5, IC 4-33-5-2, IC 5-14-3-4 (a) or (b), and IC 6-8.1-7-1.	IMAGE according to IARA standards six (6) months after: 1) the license becomes inactive, or 2) application is withdrawn or denied, or 3) the licensee is reinvestigated. After verification of images for completeness and legibility, TRANSFER final report electronically to the INDIANA ARCHIVES for permanent archival retention in a format approved by Indiana Archives staff, then DESTROY hard copies. DELETE all remaining records six (6) years after possibility of license renewal has expired or application is withdrawn/denied, and after STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
11	2008-04	RG-1 SUPPORT DOCUMENTS: DAILY AND MONTHLY Various reports related to daily monetary intake and monthly credit reconciliation for casinos, submitted as supporting information for Form RG-1 (Daily Adjusted Gross Receipts and Tax Remittance) which is maintained under Record Series 2005-24. These records are supplementary information, only needed by the Gaming Commission for a brief review period; the casinos must retain their copies for five (5) years per 68 IAC 15-1-1(c).	DESTROY/DELETE after six (6) months.

12	2008-05	ANNUAL REPORT WORKING PAPERS Documents used in preparation of the Gaming Commission's Annual Report.	DESTROY after two (2) years.
13	2008-06	INTERNAL CONTROL DOCUMENTS Written procedures utilized by each casino and submitted to the Commission, which must comply with Indiana Gaming Commission laws and rules. These are frequently revised by the casinos due to changing laws and technology; once a new set of procedures is created by the casino and approved by the Commission, the previous documents are obsolete. Includes emergency/disaster plans and job descriptions.	DESTROY when outdated or replaced.
14	2008-07	AUDIT DIVISION MONITORING DOCUMENTS Used to monitor regulatory compliance and to verify the accounting of daily wagering tax returns at each casino. Various audit, financial, security incident and surveillance reports collected from the casinos to regulate internal control and IGC rule compliance and maintained only for a brief auditing period.	DESTROY after six (6) months.
15	2008-08	CHARITY GAMING LICENSE FILE As defined under IC 4-32.2 and 68 IAC 21, a nonprofit organization must submit written application to become qualified to conduct charitable gaming in the State of Indiana. Once qualified, the organization must submit additional applications for approval or license to conduct specific charitable gaming activities and events, including but not limited to bingo, charity game night, raffle, door prize drawing, festival, and sale of pull tabs, punchboards or tip boards. The typical file contains applications, financial reports and supporting documentation necessary for the Commission to determine approval or denial of qualification and subsequent specific requests. Records are arranged in alphabetical order by entity name. A fee is required with certain applications.	DESTROY qualification applications and supporting documents after organization has been inactive for six (6) years, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY license/approval applications and supporting documents six (6) years from license/approval date, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
16	2008-09	GAMING LABORATORY LETTERS Certification letters containing analysis of new games, software and hardware testing on gaming systems. Disclosure of these records may be affected by 5-14-3-4 (a) or (b).	IMAGE according to IARA standards upon receipt. DESTROY hard copies after verification of electronic records for completeness and legibility. DELETE electronic records after three (3) years.
17	2008-10	SLOT AND TABLE GAME MOVE REQUESTS Records of the purchase, sale or movement (from one property to another) of gaming equipment, by casinos.	DESTROY after three (3) years.
18	2008-11	PROMOTIONS Information on casino promotions, associated advertising, supporting documents and correspondence.	DESTROY after three (3) years.
19	2008-12	COMPLIANCE COMMITTEE INVESTIGATORY FILES Investigation records concerning alleged regulatory noncompliance; files include, but are not limited to, settlement agreements, incident reports from gaming agents, correspondence from casinos, financial reports, security incident reports, surveillance reports and tapes, audit reports and any other information requested by or sent to the Compliance division. Disclosure of these records may be affected by 5-14-3-4 (a) or (b).	IMAGE according to IARA standards upon receipt. DESTROY hard copies after verification of electronic records for completeness and legibility. DELETE electronic records seven (7) years after resolution.

20	2010-13	<p>VOLUNTARY EXCLUSION PROGRAM ENROLLMENT AND REMOVAL APPLICATIONS: LIMITED TIME</p> <p>Record consists of an enrollment application which prohibits a patron from entering a casino for a certain period of time (SF 51803), a DVD of the enrollment interview, and a removal application for when a patron wishes to rescind the request and remove themselves from the program after the minimum exclusion period has passed (SF 52323). Limited-time exclusions may be requested for one or five years; after that period has passed, the exclusion remains active unless a removal application is submitted.</p>	<p>IMAGE hard copies according to IARA standards and TRANSFER born-digital records from enrollment DVD to agency electronic holdings, upon receipt.</p> <p>DESTROY hard copies and enrollment DVDs one year after receipt and after verification of electronic records for completeness and legibility.</p> <p>TRANSFER applications that remain active after ten (10) years to Computer Output Microfilm according to 60 IAC 2. TRANSFER original microfilm negative to the INDIANA ARCHIVES for permanent archival retention.</p> <p>DELETE rescinded applications ten (10) years after receipt of removal request.</p>
21	2010-14	<p>INDIANA JUNKETEER AND JUNKET OPERATOR REGISTRATIONS</p> <p>Record consists of Junketeer and Junket Operator Certificate of Registration Applications (SF 53686 and SF 53687) and registration letters. Application and annual registration fees are required.</p>	<p>IMAGE according to IARA standards upon receipt. DESTROY hard copies after verification of electronic records for completeness and legibility.</p> <p>DELETE electronic records five (5) years after possibility of registration renewal has expired, or after registration is withdrawn or denied, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>
22	2010-15	<p>WORK PRODUCT OF AGENCY THIRD PARTY CONTRACTORS.</p> <p>Reports and written analyses performed by third party contractors as requested by Gaming Commission staff. Disclosure of these records may be affected by IC 5-14-3-4(a) or (b) and 4-33-5-2.</p>	<p>IMAGE according to IARA standards upon receipt. DESTROY hard copies after verification of electronic records for completeness and legibility. DELETE electronic records after three (3) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>
23	2010-16	<p>ATHLETIC DIVISION LICENSE APPLICATIONS</p> <p>License applications submitted by members of the public who wish to be licensed by the Athletic Division to participate in boxing and mixed martial arts events throughout the State of Indiana. Records consist of all supporting documentation that is required to be submitted with the application (with the exception of medical records).</p>	<p>IMAGE according to IARA standards immediately upon receipt. DESTROY hard copies after verification of electronic records for completeness and legibility. DELETE electronic records and/or hard copies six (6) years after receipt of application, and after STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</p>
24	2010-17	<p>FIGHTER MEDICAL DOCUMENTS</p> <p>Medical records submitted to the Athletic Division by fighters seeking to participate in boxing and mixed martial arts events. Records may include but are not limited to: Physical Examination Report for Boxer or Mixed Martial Artist (State Form 54475), Pre-Bout and Post-Bout Physical (State Form 45730), copies of medical and non-medical suspension forms, and test results for HIV, Hepatitis B and C, and various laboratory-submitted drug tests. Disclosure of these records may be affected by: IC 5-14-3-4(a), 45 CFR 160 & 164.</p>	<p>IMAGE according to IARA standards immediately upon receipt. DESTROY hard copies after verification of electronic records for completeness and legibility. DELETE previously submitted HIV, Hepatitis B, and Hepatitis C tests immediately upon receipt of updated tests. DELETE previously submitted annual physicals immediately upon receipt of updated physicals. DELETE drug test results immediately (if negative) or after two (2) years (if positive). DELETE Pre-Bout and Post-Bout Physicals and suspension forms two (2) years after completion of event.</p>

25	2011-21	CHARITY GAMING INCIDENT REPORTS As defined by statute and rule, the Commission may suspend or revoke a gaming license or levy a civil penalty against a qualified organization, manufacturer, distributor or individual (IC 4-32.2-8). The Commission shall conduct investigations necessary to ensure the security and integrity of the operation of charitable games (IC 4-32.2-9). Typical Charity Gaming Incident Reports contain copies of gaming licenses, financial reports, supporting documentation submitted with an application. It will also contain documents, pictures, bank and supplier records utilized as evidence to justify violations charged against the organization. These reports are incidental, not criminal, and there are no fees associated. Disclosure of these records may be affected by IC 4-32-2-9-9.	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING AND WEEDING pursuant to archival principles, six (6) years after closure of investigation and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
26	2013-01	CHARITY GAMING MANUFACTURER AND DISTRIBUTOR LICENSE FILE As defined by IC 4-32.2 and 68 IAC 21-2, a distributor or manufacture must submit written application and the required fee to obtain a license to sell charity gaming licensed supply to a qualified organization or distributor. The typical file contains applications (SF 45404), copies of distributor (SF 45438) and manufacturer (SF 45437) licenses issued, quarterly reports (SF 51414), amendment request (SF 54745), notification forms (SF 54743) and supporting documentation necessary for the Commission to determine approval or denial of a request. Records are arranged in alphabetical order by entity name.	DESTROY after six (6) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
27	2017-08	GAMBLING CONTROL AND ENFORCEMENT INVESTIGATORY FILES Records concerning criminal investigations and regulatory noncompliance; files include, but are not limited to, case reports, incident reports, supplemental reports, correspondence from casinos, financial reports, witness statements, security incident reports, surveillance reports and audio or video recordings, compact discs, tapes, audit reports and any other investigatory information requested by Gaming Control or Enforcement staff. Disclosure of these records may be affected by 5-14-3-4 (a) or (b).	IMAGE according to IARA standards upon receipt. DESTROY hard copies after verification of electronic records for completeness and legibility. DELETE electronic files seven (7) years after resolution.
28	2017-09	VOLUNTARY EXCLUSION PROGRAM ENROLLMENT APPLICATIONS: LIFETIME Record consists of a voluntary application which prohibits a patron from entering a casino for the patron's lifetime (SF 51803) and a DVD of the enrollment interview.	MICROFILM according to 60 IAC 2, and IMAGE according to IARA standards, upon receipt. TRANSFER born-digital records from enrollment DVD to agency electronic holdings. TRANSFER enrollment DVD and original microfilm negative to the INDIANA ARCHIVES for permanent archival retention. DESTROY hard copies one year after receipt and after verification of electronic records and microfilm for completeness and legibility. DELETE electronic records after seventy-five (75) years or upon confirmation of patron's decease.
29	2017-10	VOLUNTARY EXCLUSION PROGRAM: GENERAL CORRESPONDENCE AND INCOMPLETE APPLICATIONS	DESTROY five (5) years after receipt.